

# **Schedule 39-112**

## **DEPARTMENT OF EDUCATION SPECIAL POPULATIONS July 21, 2005**

Nebraska Records Management Division  
440 South 8<sup>th</sup> Street, Suite 210  
Lincoln, NE 68508  
(402) 471-2559

**REQUEST FOR APPROVAL  
OF RECORDS RETENTION  
AND DISPOSITION SCHEDULE**

SCHEDULE

**39-112**

AGENCY, BOARD OR COMMISSION

**DEPARTMENT OF EDUCATION**

DIVISION, BUREAU OR OTHER UNIT

**SPECIAL POPULATIONS**

**TO: STATE RECORDS ADMINISTRATOR  
STATE OF NEBRASKA**

**Supersedes Edition of April 24, 2003**

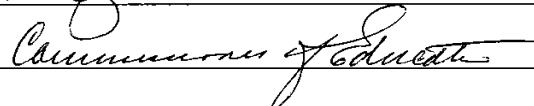
**PART I -- AGENCY STATEMENT**

In accordance with Section 84-1212.01, R.R.S. 1943, approval of the attached records retention and disposition schedule by the State Records Administrator is hereby requested. Retention periods and dispositions have been recommended by this agency after a careful evaluation of all factors listed in Section 84-1212.01, R.R.S. 1943.

SIGNATURE



TITLE



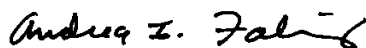
DATE

*7/14/05*

**PART II - ARCHIVAL APPROVAL**

The attached schedule has been analyzed, all archival and historical material has been properly identified, no disposition except by transfer to the State Archives has been recommended for such material, and this schedule is approved as submitted.

SIGNATURE



STATE ARCHIVIST

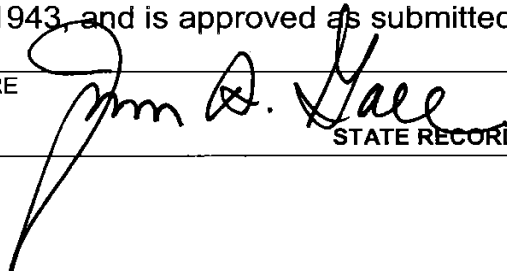
DATE

*July 18, 2005*

**PART III -- APPROVAL BY STATE RECORDS ADMINISTRATOR**

The attached schedule has been reviewed in accordance with Section 84-1212.01, R.R.S. 1943, and is approved as submitted.

SIGNATURE



STATE RECORDS ADMINISTRATOR

DATE

*7/21/05*

RMA 01005D

## **INSTRUCTIONS FOR USING THIS SCHEDULE**

Records retention and disposition schedules are designed to serve as your records management guidelines for storing and disposing of agency records, ***regardless of the media on which they reside***, including paper, microfilm, diskettes, optical disks, CDs, DVDs, servers, computer hard drives, etc. This schedule was written specifically for records unique to your office and the State Agencies General Records Schedule #124 contains those records common to most state government agencies. These retention schedules, which are approved by the State Records Administrator, provide your only ongoing authority to dispose of records. Listed below are some basic procedures to follow when applying your schedule.

### **DISPOSING OF RECORDS**

1. Check your schedules to see what the retention period is. Note: Your agency's unique schedule will take precedence over State Agencies General Records Schedule #124 for any items which have differences in retention requirements.
2. Dispose of records that have met their retention periods.
3. Complete a Records Disposition Report for the records you dispose. The Records Disposition Report form is the last page of this schedule. Remove the form, photocopy it, complete the form, make a photocopy for your records, and send the completed form to the Records Management Division at the address below. If you wish, you may receive this form electronically by contacting the Records Management Division. This report establishes that the destruction was performed in your normal course of business.

**Please remember to retain the blank form for future use.**

### **NON-SCHEDULED RECORDS**

Contact a Records Management Consultant in Records Management to see whether the records will fit under an item already on the schedule. If they do not, they must be retained until they are added to the next revision of your schedule.

### **SCHEDULE UPDATE**

It is the responsibility of each agency to periodically update their schedule. A Records Management Consultant in Records Management can assist you with the schedule update, which involves adding new records and making revisions to existing items. Keeping your schedule current will ensure that you have the ongoing authority to discard records when their useful life has ended.

### **QUESTIONS**

If you have any questions about these procedures, please contact your agency Records Officer or your Records Management Consultant in Records Management. We will help you with any questions the schedule may present, including: transferring records to the State Records Center or State Archives, microfilming records, scanning records, etc.

**Records Management Division  
440 South 8th Street, Suite 210  
Lincoln, NE 68508-2294  
402-471-2559**

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## **SCHEDULE 39-112 – DEPARTMENT OF EDUCATION – SPECIAL POPULATIONS**

### **39-112-001 ADMINISTRATOR QUESTIONNAIRE: NATURAL AND LEAST RESTRICTIVE ENVIRONMENTS**

A questionnaire used for data entry and analysis.

**ORIGINAL RECORD: Microfilm and dispose of after 3 years.**

**SECURITY MICROFILM: Dispose of after 3 years.**

**MICROFILM WORK COPY: Dispose of after 3 years.**

### **39-112-002 CERTIFICATIONS REGARDING LOBBYING, DEPARTMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS**

Material representation of fact upon which reliance is placed that agencies (including Educational Service Units and school districts) are in compliance with certification requirements under 34CFR Part 82, "New Restrictions on Lobbying", and 34CFR Part 85, "Government-wide Debarment and Suspension (Non-procurement)." Includes form 06-067.

**Dispose of after 5 years, provided audit has been completed.<sup>1</sup>**

### **39-112-003 CHILD COUNT/SPECIAL EDUCATION STUDENT INFORMATION SYSTEM (SEIS)**

This system includes special education student information submitted by school districts to fulfill federal and state reporting requirements. Includes forms 06-027, 06-051, and 06-06.

**PAPER: Dispose of after 5 years, provided audit has been completed.<sup>1</sup>**

**ELECTRONIC DATA: Backup daily; dispose of after superseded or obsolete, provided audit has been completed.<sup>1</sup>**

**SECURITY BACKUP COPY: Dispose of after superseded or obsolete, provided audit has been completed.<sup>1</sup>**

**STANDARD REPORT: PRINTOUT: Dispose of after superseded or obsolete, provided audit has been completed.<sup>1</sup>**

**ELECTRONIC REPORT: Backup daily; dispose of after superseded or obsolete, provided audit has been completed.<sup>1</sup>**

**SECURITY BACKUP COPY: Dispose of after superseded or obsolete, provided audit has been completed.<sup>1</sup>**

**AD HOC COMPUTER REPORT: PRINTOUT: Dispose of 1 year following the end of the fiscal year to which the records pertain, provided audit has been completed.<sup>1</sup>**

**ELECTRONIC REPORT: Backup daily; dispose of 1 year following the end of the fiscal year to which the records pertain, provided audit has been completed.<sup>1</sup>**

**SECURITY BACKUP COPY: Dispose of after superseded.**

**39-112-004 COMPLIANCE MONITORING RECORDS**

Records include memorandums of understanding (MOU), compliance monitoring findings and other information necessary to determine the compliance status of school districts and service agencies with special education laws and regulations.

**PAPER: Dispose of after 5 years, provided audit has been completed.<sup>1</sup>**

**ELECTRONIC DATA: Backup daily; dispose of after superseded or obsolete, provided audit has been completed.<sup>1</sup>**

**SECURITY BACKUP COPY: Dispose of after superseded or obsolete, provided audit has been completed.<sup>1</sup>**

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**SECURITY BACKUP COPY: Dispose of after superseded.**

**39-112-005 EARLY DEVELOPMENT NETWORK PLANNING REGION TEAM SURVEY**

Survey sent to 29 planning region teams, related specifically to infants and toddlers with disabilities. The Special Education Programs office requires the data.

**Dispose of after 2 years.**

**39-112-006 EARLY DEVELOPMENT NETWORK SERVICE PROVIDER AND SERVICES COORDINATOR SURVEY**

Survey sent to service providers and services coordinators, relates specifically to infants and toddlers with disabilities. The Office of Special Education Programs requires this data.

**Dispose of after 2 years.**

**39-112-007 ILCD (IMPROVING LEARNING FOR CHILDREN WITH DISABILITIES SURVEY)**

The Improving Learning for Children with Disabilities (ILCD) survey asks families, service providers and school district staff to provide opinions on the quality of services provided to children and youth with disabilities in the state. This survey is used to fulfill federal and state reporting requirements.

**ORIGINAL RECORD: Paper surveys will be completed at the school districts and sent to the regional Educational Service Unit (ESU) for scoring; retain for 15 years.**

**ELECTRONIC DATA: Backup weekly, provided to the Nebraska Department of Education; retain for 15 years.**

**SECURITY BACKUP COPY: Dispose of after superseded.**

**39-112-008 LETTER OF INTENT AND GRANT AWARD**

Application and project description (including project abstract and budget) for implementation of special education discretionary projects. Includes forms 06-028 and 06-067.

**PAPER: Dispose of after 5 years, provided audit has been completed.<sup>1</sup>**

**ELECTRONIC DATA: Backup daily; dispose of after superseded or obsolete, provided audit has been completed.<sup>1</sup>**

**SECURITY BACKUP COPY: Dispose of after superseded or obsolete, provided audit has been completed.<sup>1</sup>**

**39-112-009 NEBRASKA DIAGNOSTIC CENTER INDIVIDUAL STUDENT RECORDS**

Records resulting from a student's visit to the center for purposes of assessing the child's handicapping conditions. Records may include student case files, testing results and observation notes. Includes forms 06-030, 06-031, and 06-032.

**Dispose of 5 years after no longer needed to provide services for the student or after 20 years, whichever is sooner.**

**39-112-010 PLAN/BUDGET**

Records include school district budgets for special education aid. Budgets include estimated expenditures for the operation of special education programs. Includes forms 06-007, 06-056, 06-069, and 06-070.

**PAPER: Dispose of after 5 years, provided audit has been completed.<sup>1</sup>**

**ELECTRONIC DATA: Backup daily; dispose of after superseded or obsolete, provided audit has been completed.<sup>1</sup>**

**SECURITY BACKUP COPY: Dispose of after superseded or obsolete, provided audit has been completed.<sup>1</sup>**

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**ELECTRONIC REPORT: Backup daily; dispose of after superseded or obsolete, provided audit has been completed.<sup>1</sup>**

**SECURITY BACKUP COPY: Dispose of after superseded.**

**AD HOC COMPUTER REPORT: PAPER: Dispose 1 year following the end of the fiscal year to which the records pertain, provided audit has been completed.<sup>1</sup>**

**ELECTRONIC DATA: Backup daily; dispose of 1 year following the end of the fiscal year to which the records pertain, provided audit has been completed.<sup>1</sup>**

**SECURITY BACKUP COPY: Dispose of after superseded.**



**39-112-011      PROGRAM EXPANSION, REVISION AND  
REDUCTION REPORT (OBSOLETE 2002)**

Report submitted by local schools, which includes an estimate and rationale for additional staff for the next school year. Includes forms 06-053 and 06-068.

**PAPER: Dispose of after 5 years, provided audit has been completed.<sup>1</sup>**

**ELECTRONIC DATA: Backup daily; dispose of after 5 years, provided audit has been completed.<sup>1</sup>**

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**39-112-012      REPORT OF CHILDREN WITH DISABILITIES  
UNILATERALLY TO AN INTERIM ALTERNATIVE  
EDUCATIONAL SETTING OR SUSPENDED OR  
EXPELLED**

Reporting of children with disabilities ages 3-21 who have been removed from school due to disciplinary action -- unduplicated count by disability and by race/ethnicity. Includes form 06-020.

**PAPER: Dispose of after 5 years.**

**ELECTRONIC DATA: Backup daily; dispose of after superseded or obsolete.**

**SECURITY BACKUP COPY: Dispose of after superseded or obsolete.**

### **39-112-013      RESIDENTIAL CARE APPLICATIONS**

Applications include information submitted by school districts regarding educational and residential needs of children with disabilities. Includes forms 06-005, and 06-006.

**PAPER: Dispose of after 5 years, provided audit has been completed.<sup>1</sup>**

**ELECTRONIC DATA: Backup daily; dispose of after superseded or obsolete, provided audit has been completed.<sup>1</sup>**

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**SECURITY BACKUP COPY: Dispose of after superseded.**

### **39-112-014      SERVICE AGENCY APPLICATIONS**

Applications include special education budget and program information submitted by service agencies for approval and rate establishment. Includes form 06-001.

**PAPER: Dispose of after 5 years, provided audit has been completed.<sup>1</sup>**

**ELECTRONIC DATA: Backup daily; dispose of after superseded or obsolete, provided audit has been completed.<sup>1</sup>**

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**SECURITY BACKUP COPY: Dispose of after superseded.**

### **39-112-015      TRANSPORTATION**

Reports submitted by school districts regarding costs for the transportation of resident students with disabilities. Reports include application and form 06-071.

**PAPER: Dispose of after 5 years, provided audit has been completed.<sup>1</sup>**

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**SECURITY BACKUP COPY: Dispose of after superseded.**

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#### **NOTE**

*1. These records may be disposed of after the required retention period provided the audit of the Comprehensive Annual Financial Report (CAFR) is complete and any required federal audit is complete, and all related audit comments have been resolved. Check with the organization that performed the audit, either the Auditor of Public Accounts or the federal cognizant agency, if there is a question whether resolution is complete.*

## RECORDS DISPOSITION REPORT

<b>TO: SECRETARY OF STATE</b> <b>RECORDS MANAGEMENT DIVISION</b> <b>440 S. 8<sup>TH</sup> STREET SUITE 210</b> <b>LINCOLN, NE 68508-2294</b>	AGENCY
	DIVISION
	SUB-DIVISION

### REQUIRED INFORMATION:

In accordance with the Records Management Act, records of this agency have been disposed of under the authorization granted by the following schedule(s):

SCHEDULE NUMBER(S) ONLY (DO NOT INCLUDE SECTION AND ITEM NUMBERS)	TOTAL VOLUME DISPOSED (SEE REVERSE)

### OPTIONAL INFORMATION (FOR YOUR USE ONLY):

You may include detailed information which will be useful to you in recording exactly what records were disposed of and under what authority. This might include such things as schedule section and item numbers, title of records, inclusive dates of records, etc. This information is not required to be filed with Records Management.

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DATE	SIGNATURE
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**SEND ORIGINAL TO RECORDS MANAGEMENT. MAKE A PHOTOCOPY FOR YOUR RECORDS.**

RMA 03006D

## **VOLUME ESTIMATING GUIDE**

**(PLEASE NOTE THAT FOR REPORTING PURPOSES, A BALLPARK  
ESTIMATE OF THE TOTAL VOLUME OF MATERIAL DISPOSED IS  
ADEQUATE.)**

Vertical File Cabinet, 4 drawer letter-size .....	6 cubic feet
Vertical File Cabinet, 4 drawer legal-size.....	8 cubic feet
Lateral File, 4 drawer/shelf letter-size .....	9 cubic feet
Lateral File, 4 drawer/shelf legal-size.....	12 cubic feet
Records center carton.....	1 cubic foot
About a pickup load.....	50 cubic feet